



In the United States Patent and Trademark Office

Application No.: 09/976,848
Filed: 10/12/2001
Title: Data capture and management system
Applicant(s): Patrick A. Verta
Examiner:
Art Unit: 2171

Mailed 3-12-03
Santa Clara, CA

Information Disclosure Statement

RECEIVED

MAR 18 2003

Commissioner of Patents and Trademarks
Washington, District of Columbia 20231

Dear Sir or Madam:

Technology Center 2600

Attached is a completed Form PTO-1449 and copies of the pertinent parts of the references cited thereon.
It is requested that the document(s) on the enclosed form be made of record.

Part I (Authority)

This statement is filed pursuant to:

☒ 37 C.F.R. § 1.97(b).

This information disclosure statement is filed either (1) within three months of the filing date of the national applications; (2) within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application; or (3) before the mailing date of a first office action on the merits, whichever event occurs last.

Accordingly, this information disclosure statement requires no fee and no certification.

☐ 37 C.F.R. § 1.97(c).

This information disclosure statement is filed after the period specified in 37 C.F.R. § 1.97(b), but before the mailing date of either (1) a final action under 37 C.F.R. § 1.113 or (2) a notice of allowance under 37 C.F.R. § 1.311.

Accordingly, this information disclosure statement requires either the fee specified in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c) (\$180), or a statement according to 37 C.F.R. § 1.97(e).

☐ 37 C.F.R. § 1.97(d).

This information disclosure statement is filed after the period specified in 37 C.F.R. § 1.97(c).

Accordingly, this information disclosure statement requires either the fee specified in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c) (\$180), and a statement according to 37 C.F.R. § 1.97(e).

Conditional Petition

It is respectfully requested that this information disclosure statement be considered, good cause being presented in Part III herein (certification). please treat this paper as the required petition.

If this statement crosses in the mail with an office action, or is otherwise not in the indicated category of 37 C.F.R. § 1.97, it is respectfully requested that this statement be treated in the next appropriate category and made of record.

To the extent required, please treat this paper as a conditional petition for acceptance of the information disclosure statement.

Part II (Payment)

A check is enclosed as indicated:

- ☒ (X) No fee is due.
- ☐ () The fee specified in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c) is enclosed \$180).
- ☐ () The petition fee specified in 37 C.F.R. § 1.17(p) to consider an information disclosure statement under 37 C.F.R. § 1.97(d) is enclosed (\$180).

Part III (Statement)

Pursuant to 37 C.F.R. § 1.97(e), I certify:

- ☒ (X) No statement is necessary.
- ☐ ()
 - (1) Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement.
 - ☒ (X) The "communication from a foreign patent office" referred to in the certification is an International Search Report, possibly issued by the U.S. Patent and Trademark Office in its capacity as an International Search Authority or International Preliminary Examining Authority.
 - ☐ () The "counterpart foreign application" referred to in the certification corresponds to an ancestor or descendent application of the application for which this information disclosure statement is filed.
- ☐ ()
 - (2) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c), more than three months prior to the filing of the statement.

Part IV (Additional Statement)

An additional statement regarding these items of information () is, (X) is not, enclosed.

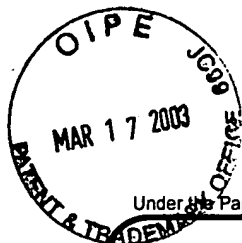
Copies of the cited art (X) are enclosed, () are of record in parent application Serial No. _____ and will be provided if the Examiner deems it convenient.

Dated: 3-12-03

Respectfully submitted,



Dr. Ron Jacobs
Reg. No. 50,142
45 Cabot Ave., Suite 110
Santa Clara, CA 95051
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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/976,848
Filing Date	10/12/2001
First Named Inventor	Patrick A. Verta
Group Art Unit	2127
Examiner Name	
Attorney Docket Number	HDN-101

Total Number of Pages in This Submission

ENCLOSURES (check all that apply)

- ☐ Fee Transmittal Form
- ☐ Fee Attached
- ☐ Amendment / Reply
- ☐ After Final
- ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/Incomplete Application
- ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers (for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) _____

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☐ Other Enclosure(s) (please identify below):

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Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Ron Jacobs, Reg. No. 50,142
Signature	
Date	3-12-03

CERTIFICATE OF MAILINGI hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 3/12/03

Typed or printed name

Jacqueline Guerro

Signature

Jacqueline Guerro

Date

3/12/03

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Application No.: 09/976,848
 Filed: 10/12/2001
 Title: Data capture and management system
 Applicant(s): Patrick A. Verta
 Examiner:
 Art Unit: 2171



FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE	ATTY. DOCKET NO. HDN-101	SERIAL NO. 09/976,848
LIST OF PRIOR ART CITED BY APPLICANT (Use several sheets if necessary)	APPLICANT Patrick A. Verta	
	FILING DATE 10/12/2001	GROUP 2171

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER							DATE	NAME	RELEVANT INFORMATION
	A	5	4	1	6	8	9	5	5/16/95	Anderson et al.	395/148
	B	5	6	2	3	2	8	2	4/22/97	Graham et al.	345/121
	C	6	2	9	8	3	4	2	10/2/01	Graefe et al.	707/4
	D	6	2	9	2	8	0	9	9/18/01	Edelman	707/503
	E										<div style="text-align: center;"> RECEIVED MAR 18 2003 Technology Center 2600 </div>
	F										
	G										
	H										

FOREIGN PATENT DOCUMENTS

		2- letter code	DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION	
						YES	NO
	I						
	J						

OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	K		
	L		
	M		
	N		

EXAMINER
DATE CONSIDERED

* **EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.